

Section 115

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Xie, et al.

Serial No: 09/617,736

Filed: July 17, 2000

For: FIBER OPTICAL PIGTAIL
GEOMETRY FOR IMPROVED
EXTINCTION RATIO OF
POLARIZATION MAINTAINING
FIBERS

) Art Unit: 2874

) Examiner:



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

On: 12-12-00 *Teri Muir*
Date Teri Muir

RESPONSE TO NOTICE TO FILE MISSING PARTS

Honorable Assistant Commissioner
for Patents
Box Missing Parts
Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts dated October 19, 2000,
please find enclosed herewith:

1. Copy of Assignment executed by the inventors;
2. Declaration and Power of Attorney executed by the inventors;
3. Check in the amount of \$840.00 for filing fee and surcharge for assignee as a large entity calculated as follows:

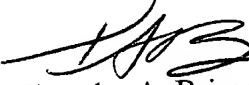
Basic filing fee	\$710.00
Surcharge	\$130.00
Total	\$840.00

4. Copy of Notice to File Missing Parts.

In the event any variance exists between the amount enclosed and the patent office charges for filing the above-noted documents, including any fees required under 37 CFR 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, the Assistant Commissioner is hereby authorized to charge or credit the difference to our Deposit Account No. 50-0612. An additional copy of this page is enclosed.

Respectfully submitted,
Sierra Patent Group, Ltd.

Dated: 12-12-00


Timothy A. Brisson
Reg. No.: 44,046



Sierra Patent Group, Ltd.
P.O. Box 6149
Stateline, NV 89449
(775) 586-9500

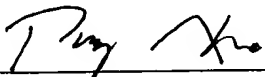
ASSIGNMENT

WHEREAS, we, Ping Xie, a citizen of the United States, residing at 1272 Chessington Drive, San Jose, California 95131, Yonglin Huang, a citizen of the United States, residing at 2463 Flickinger Road, San Jose, California 95131, and Salvador P. Tiscareno, a citizen of the United States, residing at 4685 Albany Circle #127, San Jose, California 95129, have invented a **"FIBER OPTICAL PIGTAIL GEOMETRY FOR IMPROVED EXTINCTION RATIO OF POLARIZATION MAINTAINING FIBERS"** for which we have executed application papers for a U.S. patent thereon, which was filed on July 17, 2000, serial No. not yet assigned; and

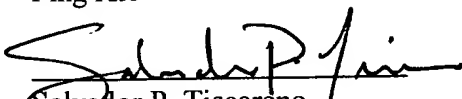
WHEREAS, New Focus, Inc., a Delaware corporation, having a place of business at 2630 Walsh Avenue, Santa Clara, California 95051, is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefore in the United States of America and its territories and possessions, and all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, we, Ping Xie, Yonglin Huang and Salvador P. Tiscareno, do sell, assign, transfer and set over unto the said New Focus, Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all Letters Patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to New Focus, Inc., its successors and assigns, in accordance with this Assignment.


WITNESS OUR HAND at Santa Clara, California, this 5th day of December, 2000.



Ping Xie



Salvador P. Tiscareno



Yonglin Huang

#5

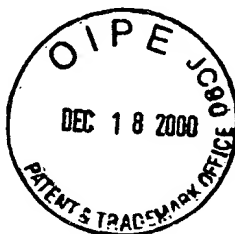


UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/617,736	07/17/2000	Ping Xie	NFCS-00-011

Timothy A Brisson
Sierra Patent Group Ltd
P O Box 6149
Stateline, NV 89449



FORMALITIES LETTER



OC000000005485771

Date Mailed: 10/19/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 820.

*A copy of this notice **MUST** be returned with the reply.*

Lawdike

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/20/2000 BHABTEH 000000030 09617736

01 FC:101
02 FC:105710.00 DP
130.00 DP